



UNITED STATES PATENT AND TRADEMARK OFFICE

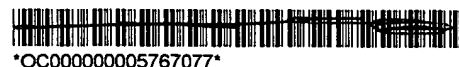
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/755,591	01/05/2001	Stuart Harris	CF/012

1473
FISH & NEAVE
1251 AVENUE OF THE AMERICAS
50TH FLOOR
NEW YORK, NY 10020

CONFIRMATION NO. 3838

FORMALITIES LETTER



OC000000005767077

Date Mailed: 02/15/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

08/29/2001 BNGUYEN1 00000003 09755591

02 FC:105

130.00 OP

*A copy of this notice **MUST** be returned with the reply.*

Melhan - Teste Beave
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



PATENTS
CF/012

✓
SECTOR#
#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Stewart Harris et al.
Application No.: 09/755,591 Confirmation No.: 3838
Filed : January 5, 2001
For : SYSTEMS AND METHODS FOR MONITORING
CREDIT OF TRADING COUNTERPARTIES
Group Art Unit : 2164
Examiner : Not yet assigned

New York, New York 10020
August 21, 2001

Box MISSING PARTS
Hon. Commissioner
for Patents
Washington, D.C. 20231

REPLY TO NOTICE TO FILE
MISSING PARTS OF APPLICATION

Sir:

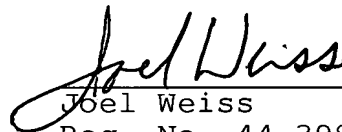
In reply to the Notice of to File Missing Parts
(copy attached) issued by the Patent and Trademark Office on
February 15, 2001 in connection with the above-identified
patent application, applicants enclose herewith:

1. A copy of the February 15, 2001 Notice to File Missing Parts of Nonprovisional Application
2. Executed Declaration and Power of Attorney;
3. A Petition Under 37 C.F.R. § 1.136(a) for Extension of Time;

4. A check in the amount of \$130.00 in payment of the surcharge; and
5. A check in the amount of \$1,890.00 in payment of a five-month extension fee.

The Director is also hereby authorized to charge any additional fee or to credit any overpayment that may be due in connection with this Reply to Deposit Account No. 06-1075. A duplicate copy of this form is enclosed herewith.

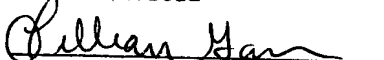
Respectfully submitted,



Joel Weiss
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I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
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COMMISSIONER FOR
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WASHINGTON, D.C. 20231 on

August 21, 2001
Lillian Garcia


Signature of Person Signing